

01-03-02

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12/28/01

jc921 U.S. PTO

Please type a plus sign (+) inside this box ☐

PTO/SB/05 (08-00)
 Approved for use through 10/31/2002 OMB 0651-0032
 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 28221.5

First Inventor Yee Yvonne Chen

Title METHOD AND APPARATUS FOR EFFICIENT
SURFACE GENERATION OF PURE O3

Express Mail Label No. EL 909639435US

10/034084

12/28/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27
3. ☒ Specification [Total Pages 29]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages 2]
 - a. ☒ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Other: Transmittal, check

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. 09, 549,269

Prior application information:

Examiner Mayekar, K.

Group / Art Unit. 1741

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

000027683

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name Warren B. Kice
 Address Haynes and Boone, L.L.P.,
 600 Congress Avenue, Suite 1600
 City Austin State Texas Zip Code 78701-3236
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Name (Print/Type)

Michael J. Balconi-Lamica

Registration No. (Attorney/Agent)

34,291

Signature

Michael J. Balconi-Lamica

Date 12/28/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 973.00

Complete if Known

Application Number	Continuation of 09/549,269
Filing Date	Herewith
First Named Inventor	Yee Yvonne Chen
Examiner Name	Unknown
Group Art Unit	Unknown
Attorney Docket No.	28221.5

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **08-1394**
Deposit Account Name **Haynes and Boone, LLP**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 370.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
59	-20** = 39	9.00	351.00
9	-3** = 6	42.00	252.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 603.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Fee Code	Large Entity (\$)	Small Entity (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath		
127 50	227 25	Surcharge - late provisional filing fee or cover sheet		
139 130	139 130	Non-English specification		
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination		
112 920*	112 920*	Requesting publication of SIR prior to Examiner action		
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		
115 110	215 55	Extension for reply within first month		
116 400	216 200	Extension for reply within second month		
117 920	217 460	Extension for reply within third month		
118 1,440	218 720	Extension for reply within fourth month		
128 1,960	228 980	Extension for reply within fifth month		
119 320	219 160	Notice of Appeal		
120 320	220 160	Filing a brief in support of an appeal		
121 280	221 140	Request for oral hearing		
138 1,510	138 1,510	Petition to institute a public use proceeding		
140 110	240 55	Petition to revive - unavoidable		
141 1,280	241 640	Petition to revive - unintentional		
142 1,280	242 640	Utility issue fee (or reissue)		
143 460	243 230	Design issue fee		
144 620	244 310	Plant issue fee		
122 130	122 130	Petitions to the Commissioner		
123 50	123 50	Processing fee under 37 CFR 1.17(q)		
126 180	126 180	Submission of Information Disclosure Stmt		
581 40	581 40	Recording each patent assignment per property (times number of properties)		
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))		
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))		
179 740	279 370	Request for Continued Examination (RCE)		
169 900	169 900	Request for expedited examination of a design application		

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Michael J. Balconi-Lamica	Registration No. (Attorney/Agent)	34,291	Telephone	512/867-8421
Signature	<i>Michael J. Balconi-Lamica</i>	Date	12/28/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. Customer No.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	§	
Yee Yvonne Chen	§	
Serial No.:	§	
Continuation of 09/549,269	§	Group Art Unit: Unknown
Filed:	§	
Herewith	§	Examiner: Unknown
For: METHOD AND APPARATUS	§	
FOR EFFICIENT SURFACE	§	
GENERATION OF PURE O ₃	§	

BOX PATENT APPLICATION
Commissioner For Patents
Washington, D.C. 20231

TRANSMITTAL OF CONTINUATION APPLICATION

Dear Sir:

Enclosed are the following regarding the above-identified patent application:

1. Utility Patent Application Transmittal for Continuation Application;
2. Fee Transmittal (in duplicate);
3. Specification including claims and abstract (29 pages);
4. Six Formal Drawing Sheets;
5. Copy of Declaration from parent application 09/549,269;
6. Newly executed Supplemental Declaration;
7. Information Disclosure Statement and PTO-1449 form;
8. Preliminary Amendment;
9. Application Data Sheet;
10. A check in the amount of \$ 973 .00 for filing fee;
11. A return postcard; and
12. This transmittal letter submitted in duplicate.

The Commissioner is hereby authorized to charge payment of any further fees associated with any of the papers submitted herewith or to credit any overpayment to Deposit Account No. 08-1394.

Respectfully submitted,

Michael J. Balconi-Lamica

Michael J. Balconi-Lamica
Registration No. 34,291

Date: Dec. 28, 2001
HAYNES AND BOONE, L.L.P.
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Dallas, Texas 75202-3789
Telephone: 512/867-8421
Facsimile: 512/867-8470
A-124700.1

EXPRESS MAIL NO.: EL909639435US

DATE OF DEPOSIT: 12-28-01

This paper and fee are being deposited with the U.S. Postal Service Express Mail Post Office to Addressee service under 37 CFR §1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231

CANDICE R ROCKETT
Name of person mailing paper and fee

Candice R Rockett
Signature of person mailing paper and fee